

APPLICANT: KANEMASA, Hirofumi et al

ATTORNEY DOCKET NO. 097928423-0007

SERIAL NO. Not yet assigned

GROUP ART UNIT: Not yet assigned

FILING DATE: September 28, 2001

EXAMINER: Not yet assigned

INVENTION:

"Authentication Apparatus, Authentication System, and Method of Same, Processing Apparatus, Communication Apparatus, Communication Control Apparatus, Communication System, and Method of Same, Information Storage Method and Apparatus of Same, Information Restoration Method and Apparatus of Same and Storage Medium of Same"

INFORMATION DISCLOSURE STATEMENT TRANSMITTAL LETTER

**HON. ASSISTANT COMMISSIONER OF PATENTS**

Washington, D.C. 20231

Sir:

Submitted herewith is an Information Disclosure Statement for consideration in the above-identified application. This Information Disclosure Statement is submitted:

Within 3 months (1) of filing date of a national application; (2) of date of entry of the national stage as set forth in 37 C.F.R. §1.491 in an international application; or (3) before the mailing date of a first Office Action on the merits, whichever occurs last. (No fee is required.)

After the mailing date of a first Office Action but before (1) mailing of a final action under 37 C.F.R. §1.113; or (2) mailing of a notice of allowance under §1.311, whichever occurs first.

Payment for the fee set forth in 37 C.F.R. §1.17(p) accompanies this submission; or

The certification specified in 37 C.F.R. §1.97(e) is made below. (No fee is required.)

After the mailing of (1) a final action under 37 C.F.R. §1.113; or (2) a notice of allowance under 37 C.F.R. §1.311 whichever occurs first, but **before** payment of the issue fee. The certification specified in 37 C.F.R. §1.97(e) is made below. The Commissioner hereby is petitioned to consider the Information Disclosure Statement accompanying this submission. Payment for the Petition fee set forth in 37 C.F.R. §1.17(i)(1) accompanies this submission.

The undersigned counsel for applicant(s) hereby certifies each item of information identified in the Information Disclosure Statement was cited in a communication from a foreign Patent Office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.

The undersigned counsel for applicant(s) hereby certifies that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign Patent Office in a counterpart foreign application, or to the knowledge of the undersigned, after making reasonable inquiry, was known to any individual designated in 37 C.F.R. §1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

A check in the amount of \$\_\_\_\_\_ to cover any required fee is enclosed.

The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Account No. 19-3140. *A duplicate copy of this sheet is enclosed for this purpose.*

Very respectfully,

SONNENSCHEIN NATH & ROSENTHAL

By David R. Metzger Reg. 32,919

David R. Metzger  
Sonnenchein, Nath & Rosenthal  
P.O. Box 061080  
Wacker Drive Station, Sears Tower  
Chicago, Illinois 60606  
Telephone (312) 876-8000

CERTIFICATE OF MAILING

I hereby certify that this Information Disclosure Statement is being deposited with the United States Postal Service in an envelope addressed to the Assistant Commissioner of Patents at the United States Patent and Trademark Office, Box PCT, Washington D.C. on September 28, 2001.

Paula M. Theissmann  
Paula M. Theissmann

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

**INFORMATION DISCLOSURE STATEMENT**

APPLICANT(S): KANEMAKI, H. DOCKET NO.: 09798423-0007  
SERIAL NO.: Unknown GROUP ART UNIT: Unknown  
DATE FILED: September 28, 2000 EXAMINER: Unknown  
INVENTION: "Authentication Apparatus, Authentication System, and Method of Same, Processing Apparatus, Communication Apparatus, Communication Control Apparatus, Communication system, and Method of Same, Information Storage Method and Apparatus of Same, Information Restoration Method and Apparatus of Same, and Storage Medium of Same"

Hon. Assistant Commissioner for Patents

Box DD

Washington, DC 20231

S I R:

In accordance with the provisions of 37 C.F.R. § 1.56, Applicants request that citation and examination of the references identified on the attached PTO-1449 form, copies of which are enclosed herewith in accordance with 37 C.F.R. §1.98, be made during the course of examination of the above-referenced application for United States Letters Patent.

**I. SUBMITTED US PATENT REFERENCES**

<u>Number</u>	<u>Country</u>	<u>Date of Publication</u>
6,148,404 (English equivalent of JP 10-282883)	US	November 14, 2000

**II. SUBMITTED FOREIGN PATENT REFERENCES**

<u>Number</u>	<u>Country</u>	<u>Date of Publication</u>
JP 11-2590165 (English abstract only)	JP	September 17, 1999
JP 2000-322484 (English abstract only)	JP	November 24, 2000

<u>Number</u>	<u>Country</u>	<u>Date of Publication</u>
JP 10-282883	JP	October 23, 1998
JP 11-328117 (English abstract only)	JP	November 30, 1999
JP 2000-029792 (English abstract only)	JP	January 28, 2000
JP 10--336169 (English abstract only)	JP	December 18, 1998
JP 2000-353194 (English abstract only)	JP	December 19, 2000
EP 0884669	EP	December 16, 1998
JP 2000-174796 (English abstract only)	JP	June 23, 2000
JP 2000-029841 (English abstract only)	JP	January 28, 2000

### III. EXPLANATION OF RELEVANCE

The above-identified references were cited in the Japanese Patent Office Search Report of April 17, 2001 in counterpart PCT Patent Application No. PCT/JP01/00772. A copy of the Search Report is submitted herewith.

Submitted by,

(Reg. 32,919)

David R. Metzger  
SONNENSCHEIN NATH & ROSENTHAL  
P.O. Box 061080  
Wacker Drive Station  
Sears Tower  
Chicago, IL 60606-1080  
Telephone: 312/876-8000  
Attorneys for Applicant(s)

Form PTO-1449 (Rev. 8-88)		U.S. Department of Commerce Patent and Trademark Office		Attorney Docket No. 9798423-0007	Serial No. Unknown
INFORMATION DISCLOSURE CITATION (Use several sheets if necessary)				Applicant KANEMAKI, H. et al	09/937797
				Filing Date September 28, 2001	Group Art Unit: Unknown

## U.S. PATENT DOCUMENTS

Examiner Initial*		Document Number	Date	Name	Class	Subclass	Filing Date If Appropriate
		6,148,404 (English equivalent of JP 10-282883	11/14/00	Naonobu Yatsukawa			

## FOREIGN PATENT DOCUMENTS

		Document Number			Class	Subclass	Translation	
							Yes	No
		JP 11-250165 (English abstract only)	09/17/99					x
		JP 2000-322484 (English abstract only)	11/24/00					x
		JP 10-282883	10/23/98				x	
		JP 11-328117 (English abstract only)	11/30/99					x
		JP 2000-029792 (English abstract only)	01/28/00					x
		JP 10-336169 (English abstract only)	12/18/98					x
		JP 2000-353194 (English abstract only)	12/19/00					x
		EP 0884669	12/16/98				x	
		JP 2000-174796 (English abstract only)	06/23/00					x
		JP 2000-029841 (English abstract only)	01/28/00					x

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

Examiner	Date Considered
----------	-----------------

\*Examiner: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.